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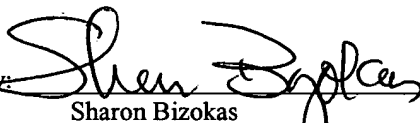
Attorney Docket No.: 60601-CIP (50553)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTOR(S): Farb et al. Examiner: Not Yet Assigned  
U.S. SERIAL NO.: 10/627,498 Art Unit: Not Yet Assigned  
FILED: July 25, 2003  
FOR: EFFECT OF STEROIDS ON NMDA RECEPTORS DEPENDS ON SUBUNIT COMPOSITION

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop: Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on August 20, 2004.

By:   
Sharon Bizokas

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

TRANSMITTAL LETTER

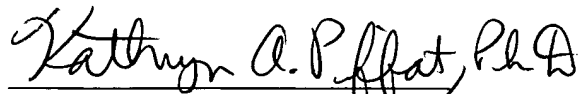
Transmitted herewith for filing in the above-referenced patent application are the following documents:

1. Information Disclosure Statement (4 pages) and Form PTO-1449 (2 pages);
2. This transmittal letter (1 page) (x2); and
3. Return Receipt Postcard

The Commissioner is hereby authorized to charge any excess fees that may be required, or credit any overpayment to Deposit Account No. 04-1105. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Date: August 20, 2004

  
Kathryn A. Piffat, Ph.D., Reg. 34,901  
Intellectual Property Practice Group of  
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Customer No. 21874



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INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications or other information submitted for consideration by the Office are listed on PTO-1449, attached hereto.

II. COPIES

- a. \_\_\_\_\_ Submitted herewith is a legible copy of (i) each U.S and foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.
- b. X This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application Serial No. 09/652,345 , filed on August 31, 2000. The following references were submitted to, and/or cited by, the Office in the prior application (s) and, therefore, are not required to be provided in this application.

III. CONCISE EXPLANATION OF THE RELEVANCE

(check at least one box)

- a. X Except as may be indicated below in (b), all of the patents, publications or other information are in the English language or were cited in an English language Search Report, a copy of which is attached hereto (concise explanation not required).
- b. \_\_\_\_\_ A concise explanation of the relevance of all patents, publications or other information listed that is not in the English language is as follows:
- c. \_\_\_\_\_ The following additional information is provided for the Examiner's consideration:

**FEES**

IV. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(b)

(check one box)

- a. \_\_\_\_\_ within three months of the filing date of a national application (37 C.F.R. § 1.97(b) (1). No fee or certification is required.
- b. \_\_\_\_\_ within three months of the date of entry of the national stage as set forth in §1.491 in an international application (37 C.F.R. § 1.97(b) (2). No fee or certification is required.

- c.   X   Before the mailing date of a first Action on the merits (37 C.F.R. § 1.97(b) (3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below, or, if no certification has been made, charge our deposit account a fee in the amount of \$180.00 as required by 37 C.F.R. § 1.17(p).

V. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(c):  
(check one box)

before the mailing date of a Final Office Action under 37 C.F.R. § 1.113 (See 37 C.F.R. § 1.97(c) (1)) or before the mailing date of a Notice of Allowance under 37 C.F.R. § 1.311 (See 37 C.F.R. § 1.97(c) (2)).

- a.        No certification; therefore, a fee in the amount of \$180.00 is required by 37 C.F.R. § 1.17(p).  
or  
b.   X   See the certification below. No fee is required.

VI. STATEMENT UNDER 37 C.F.R. § 1.97(e) (check only one box)

The undersigned hereby states that

- a.        each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or  
b.        no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

c. \_\_\_\_\_ Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned certifies that each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

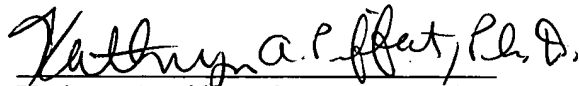
\_\_\_\_\_ Please charge Deposit Account No. 04-1105 in the amount of \$180.00 for the above-indicated fee. A triplicate copy of this paper is attached.

X No fee is required.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule, with a petition if necessary, and charge the appropriate fee to Deposit Account No. 04-1105.

Respectfully submitted,

Date: August 20, 2004



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FORM PTO-1449

## INFORMATION DISCLOSURE STATEMENT

ATTY DOCKET NO.

50553/60601

SERIAL NO.

10/627,498

APPLICANT(S): Farb et al.

FILING DATE:

July 25, 2003

ART UNIT:

1614

## UNITED STATES PATENT DOCUMENTS

EXAM. INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FIL. DATE IF APPR
	AA	5,849,895	12/1998	Daggett et al.	536	23.5	
	AB	5,888,996	3/1999	Farb			
	AC	6,083,941	7/2000	Farb			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRAN YES/NO

## OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

	CA	Durand et al., Proc. Natl. Acad. Sci., 89:9359-9363, (1992)
	CB	Durand et al., Proc. Natl. Acad. Sci, 90:6731-6735 (1993)
	CC	Williams et al., Mo.. Pharmacol. 45(5):803-809 (1994)
	CD	Yaghoubi et al., Brain Res. 803:153-160 (1998)
	CE	Traynelis et al., J. Neurosci. 18(16):6163-6175 (1998)
	CF	Masuko et al., Mol. Pharmacol. 55:957-696 (1999)
	CG	Nakanishi et al., Proc. Natl. Acad. Sci., 89:8552-8556 (1992)
	CH	Irwin et al., Neuro. Letters, 141:30-34 (1992)
	CI	Laurie and Seeburg, Euro J. of Pharm. 268:335-345 (1994)
	CJ	McBain and Mayer, Physio. Reviews 74:723-760 (1994)
	CK	Farb and Gibbs, Neuroactive Sterioids, CRC Press, New York, pp.23-36 (1996)
	CL	Irwin et al., J. Pharmacol. Exp. Ther. 271:677-682 (1994)
	CM	Park-Chung et al., Mol. Pharmacol. 46:146-150 (1994)

<b>FORM PTO-1449</b>		<b>ATTY DOCKET NO.</b> 50553/60601	<b>SERIAL NO.</b> 10/627,498
<b>INFORMATION DISCLOSURE STATEMENT</b>		<b>APPLICANT(S):</b> Farb et al.	
		<b>FILING DATE:</b> July 25, 2003	<b>ART UNIT:</b> 1614
<b>UNITED STATES PATENT DOCUMENTS</b>			
	CN	Park-Chung et al., Mol. Pharmacol., 52:1113-1123 (1997)	
	CO	Wu et al., Mol. Pharmacol., 40:333-336 (1991)	
	CP	Wisden and Seeburg, J. Neurosci., 13:3582-3598 (1993)	
	CQ	Anson et al., J. Neurosci., 18:581-589 (1998)	
	CR	Wafford et al., Mol. Pharmacol. 47:374-380 (1995)	
	CS	Weaver et al., Brain Res., 761:338-341 (1997)	
	CT	Weaver et al., Proc. Natl. Acad. Sci. 94:10450-10454 (1997)	
	CU	Irwin et al., Neuroscience Letters, 141:30-34 (1992)	
	CV	Laurie et al., European Journal of Pharmacology 268:335-345 (1994)	
	CW	McBain and Mayer, Physiological Reviews 74:723-760 (1994)	
<b>Examiner:</b>		<b>Date:</b>	